

02-01-01

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[Signature]

Express Mail No.: ET163502810US
Docket No.: 787CIP2G

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
UTILITY PATENT APPLICATION TRANSMITTAL UNDER 37 CFR 1.53**

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Y. Tom Tang, Ping Zhou, Ryle Goodrich, Chenghua Liu, Vinod Asundi,
Tom Wehrman, Yonghong Yang, Radoje T. Drmanac

Title: NOVEL NUCLEIC ACIDS AND POLYPEPTIDES

1. Type of application

- ☒ This is a new application for a
 - ☒ Utility patent.
- ☒ This is a continuation-in-part application of prior application no. 09/560,875 filed April 27, 2000, Attorney Docket No. 787CIP, which is a continuation-in-part application of prior application no. 09/496,914 filed February 03, 2000, Attorney Docket No. 787.
- ☒ Applicants claim small entity status (See 37 CFR 1.27)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **January 30, 2001**, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. ET163502810US



Leslie A. Mooi

jc984 U.S. PTO
01/30/01

jc986 U.S. PTO
09/774434
01/30/01

09/774434-013004

2. Application Papers Enclosed

1 Title Page
125 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
4 Page(s) of Claims
1 Page(s) of Abstract
0 Sheet(s) of Drawings (Figs. X-X) ☐ Formal ☐ Informal
23 Page(s) of Sequence Listing

3. Oath or Declaration

- ☐ An executed declaration of the inventor(s) is enclosed
- ☒ Unexecuted – the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Additional Papers Enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Declaration of Biological Deposit
- ☒ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence
- ☒ Statement Under 37 CFR § 1.821
- ☒ Paper copy of sequence listing identical to computer copy (23 pages)
- ☐ Assignment Document
- ☐ A bibliographic data entry sheet
- ☐ Verified translation of a non-English patent application
- ☒ Return receipt postcard
- ☐ Other _____

5. **Priority Applications Under 35 USC 119**

Certified copies of applications from which priority under 35 USC 119 is claimed are listed below and

- ☐ are attached.
☐ will follow.

6. **Filing Fee Calculation (37 CFR 1.16)**

A. ☒ **Utility Application**

CLAIMS AS FILED – INCLUDING PRELIMINARY AMENDMENT (IF ANY)						
			SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	NO. FILED	NO. EXTRA	RATE	FEE	RATE	FEE
BASIC FEE				\$355.00		\$710.00
TOTAL	29-20	= 9	X 9 =	\$81.00	X 18 =	\$0.00
INDEP.	3-3	= 0	X 40 =	\$00.00	X 80 =	\$0.00
<input checked="" type="checkbox"/> First Presentation of Multiple Dependent Claim			+ 135 =	\$135.00	+ 270 =	\$0.00
FILING FEE:				\$571.00	OR	\$0.00

B. ☐ **Design Application (\$160.00/\$320.00)** Filing Fee: \$ _____

C. ☐ **Plant Application (\$245.00/\$490.00)** Filing Fee: \$ _____

D. **Other fees**

- ☐ Recording Assignment [Fee -- **\$40.00** per assignment] \$ _____
☐ Petition fee for filing by other than all the inventors
or person on behalf of the inventor where inventor
refused to sign or cannot be reached [Fee -- **\$130.00**] \$ _____
☐ Other \$ _____

TOTAL FEES ENCLOSED \$ 571.00

7. **Method of Payments of Fees**

- ☐ Enclosed check
- ☒ Charge Deposit Account No. 501169. A duplicate copy of this transmittal is enclosed
- ☐ This application is being filed without a filing fee. Issuance of a Notice to File Missing Parts if respectfully requested.

8. **Deposit Account and Refund Authorization**


- ☒ The Commissioner is hereby authorized to charge payment of any additional fees due or credit any overpayment to Deposit Account No. 501169. A duplicate copy of this transmittal is enclosed.

Please direct all future correspondence to Leslie A. Mooi at the address below.

Respectfully submitted,

Date: January 30, 2001

By:


Leslie A. Mooi
Attorney for Applicants
Registration No.: 37,047
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Express Mail No.: ET163502810US
Docket No.: 787CIP2G

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Tang, et al.
Serial No: Not Yet Assigned
Filed: Herewith
For: NOVEL NUCLEIC ACIDS
AND POLYPEPTIDES


CERTIFICATE OF MAILING
BY "EXPRESS MAIL" UNDER 37 CFR § 1.10

"Express Mail" Mailing Label Numbers
ET163502810US

Date of Deposit: January 30, 2001

I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under 37 CFR § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C., 20231.

Type or Print Name of Person Mailing: Leslie A. Mooi


Signature of Person Mailing



STATEMENT REGARDING SEQUENCE LISTING UNDER 37 CFR §1.821(f)

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

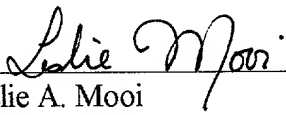
Dear Sir:

I hereby state that the content of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 CFR §1.821(c) and (e), respectively, are the same.

Respectfully submitted,

Dated: January 30, 2001

By:


Leslie A. Mooi
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